



Practitioner's Docket No. P04514US0

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: **THOMANN, KAREN S., et al.**

Serial No: **10/086,336**

Filed: **March 1, 2002**

Confirmation: **4139**

For: **AUTOMATED WORKFLOW MEANS AND METHOD FOR PENSION PRODUCTS**

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

**AMENDMENT, PETITION AND FEE TO CORRECT AND/OR ADD TO  
ORIGINALLY NAMED INVENTOR(S) (37 C.F.R. 1.48(a) AND/OR (c))**

NOTE: 37 C.F.R. § 1.48(f)(1) states: "If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship.

(2) if the correct inventor or inventors are not named on filing a provisional application without a cover sheet under § 1.51(c)(1), the later submission of a cover sheet under § 4.51(c)(1) during the pendency of the application will act to correct the earlier identification of inventorship."

1. This amendment and petition is to:

☒ correct the incorrect original naming of inventor(s) in the declaration under 37 C.F.R. § 1.48(a)

and/or

☐ add inventor(s) for subject matter disclosed in the application but previously unclaimed under 37 C.F.R. § 1.48(c).

**CERTIFICATE OF MAILING/TRANSMISSION (37 CFR § 1.8(a))**

I hereby certify that this correspondence is, on the date shown below, being:

**MAILING**

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: 9/3/02

**FACSIMILE**

☐ transmitted by facsimile to the Patent and Trademark Office.

Signature [Handwritten Signature]

JEFFREY D. HARTY

(type or print name of person certifying)

2. Addition and/or deletion of inventor(s)

☐ Add the following previously unnamed person(s) as inventor(s) of this application:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

☒ Delete the following previously incorrectly named inventor(s)

JOSEPH MCCARTY  
SHERYL D. BENEDICT

3. Attachments

Attached is

(a) A statement from:

☐ each person being added as an inventor that the error in inventorship occurred without deceptive intention on his or her part. 37 C.F.R. § 1.48(a)(1).

☒ each person being deleted as an inventor that the error in inventorship occurred without deceptive intention on his or her part. 37 C.F.R. § 1.48(a)(1).

☐ each person being added as an inventor that the amendment is necessitated by amendment of the claims and that the inventorship error occurred without deceptive intention on his or her part. 37 C.F.R. § 1.48(c)(1).

(b) a declaration by each of the actual inventor(s) as required by 37 C.F.R. § 1.63.

(c) written assent of the assignee (if applicable)

4. Fee payment (37 C.F.R. § 1.17(I))

The fee required is paid as follows:

☒ Enclosed is a check in the amount of \$130.00

☒ Charge Account No. 26-0084 in the amount of for any fee deficiency.

(A duplicate of this request is attached.)

☐ Charge account \_\_\_\_\_ the sum of \$\_\_\_\_\_.

  
SIGNATURE OF PRACTITIONER

JEFFREY D. HARTY, Reg. No. 40,639  
(type or print name of attorney)

MCKEE, VOORHEES & SEASE, PLC  
Tel. No.: (515) 288-3667  
801 Grand Avenue, Suite 3200  
P.O. Address  
Des Moines, Iowa 50309



#6

ATTORNEY'S DOCKET NO. P04514US0

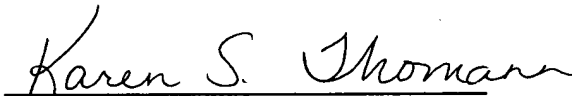
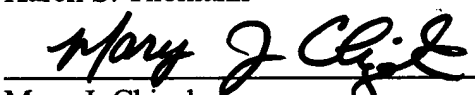
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For: **AUTOMATED WORKFLOW MEANS AND METHOD FOR PENSION PRODUCTS**

**STATEMENT AGREEING TO CHANGE OF INVENTORSHIP IN PATENT APPLICATION BY CORRECTLY NAMED INVENTORS**

We, **Karen S. Thomann, Mary J. Chizek, Richard C. Johnson, Carla K. Seiler, Paul N. Douglas, and Thomas R. Houghton** inventors who are correctly named in the above-identified patent application, and in support of the petition to correct the inventorship of this patent application hereby agree to the change of inventorship of this patent application.

  
Karen S. Thomann  
  
Mary J. Chizek

CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

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37 CFR 1.8(a)

37 CFR 1.10

☒ as first class mail

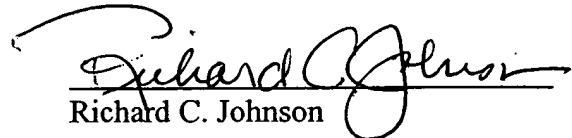
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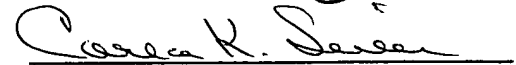
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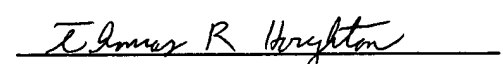
Date: 9/3/02

  
Jeffrey D. Harty

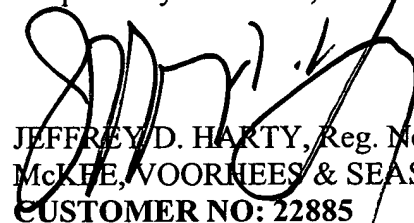
  
Richard C. Johnson

  
Carla K. Seiler

\_\_\_\_\_  
Paul N. Douglas

  
Thomas R. Houghton

Respectfully submitted,



JEFFREY D. HARTY, Reg. No. 40,639  
McKEE, VOORNEES & SEASE, PLC  
**CUSTOMER NO: 22885**  
Attorneys of Record

801 Grand Avenue, Suite 3200  
Des Moines, Iowa 50309-2721  
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515-288-1338 (fax) -JDG/bja-

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Richard C. Johnson

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Carla K. Seiler



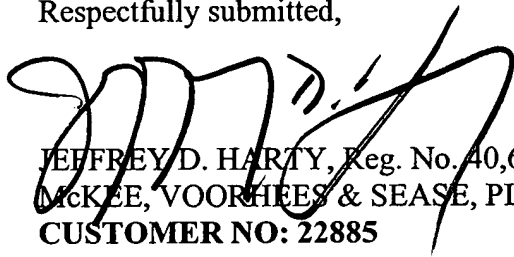
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Paul N. Douglas

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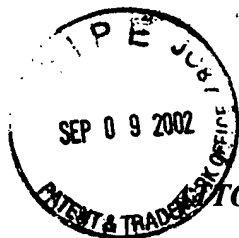
Thomas R. Houghton

Respectfully submitted,



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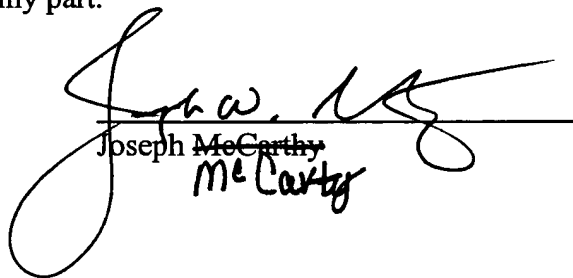
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**STATEMENT OF NON-DECEPTIVE INTENT BY PERSON BEING DELETED  
BY PETITION TO CHANGE INVENTORSHIP IN PATENT APPLICATION**

I, **Joseph McCarthy**, who is being deleted as an inventor by the petition being submitted to correct the inventorship of this patent application does hereby declare that the inventorship error in including my name as an inventor on this patent application occurred without any deceptive intention on my part.

  
Joseph McCarthy  
McCarthy

CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10

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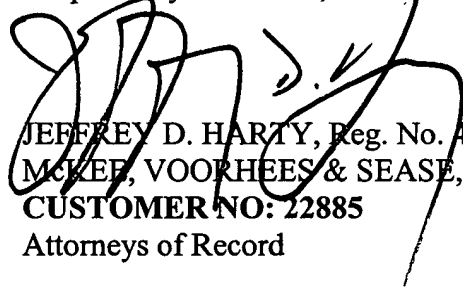
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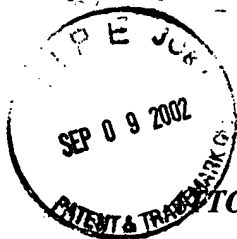
  
Jeffrey D. Harty

Respectfully submitted,



JEFFREY D. HARTY, Reg. No. 40,639  
MCKEE, VOORHEES & SEASE, PLC  
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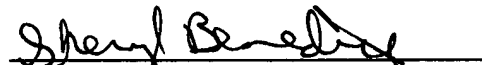
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**STATEMENT OF NON-DECEPTIVE INTENT BY PERSON BEING DELETED  
BY PETITION TO CHANGE INVENTORSHIP IN PATENT APPLICATION**

I, **Sheryl D. Benedict**, who is being deleted as an inventor by the petition being submitted to correct the inventorship of this patent application does hereby declare that the inventorship error in including my name as an inventor on this patent application occurred without any deceptive intention on my part.

  
Sheryl D. Benedict

**CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10**

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**TRANSMISSION**

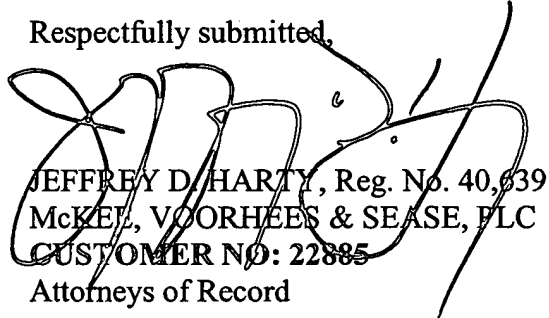
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Date: 9/3/02

  
Jeffrey D. Harty



Respectfully submitted,



JEFFREY D. HARTY, Reg. No. 40,639  
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